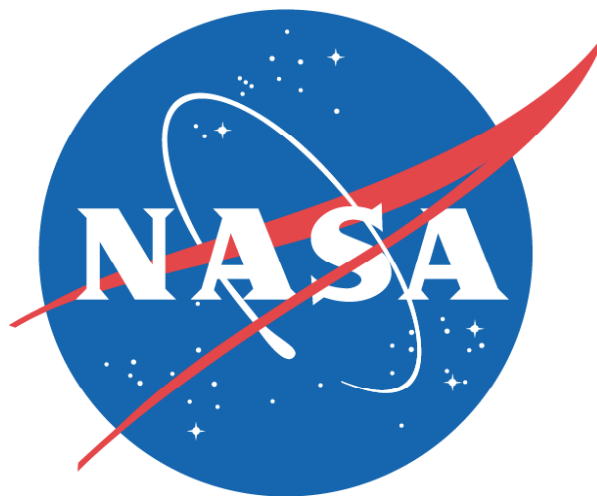


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

Budget Justification

Approved by: (Original signed by Christopher J. Scolese) Date: (12/18/2001)
Christopher J. Scolese
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code SJ]

Subject: Budget Justification**DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<ul style="list-style-type: none">• Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none">• Incorporates modifications responsive to NCRs #279, #282, #293, #296, #302, #311, #312, #315, #316, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none">• Corrects titles of quality records in Section 5 and Section 6.• Incorporates process description clarification from Process Owner in Section 6.• Corrects functional title of "Owner" in table of quality records in Section 7.• Incorporates recent terminology and format standardization.
Revision	C	12/18/2001	<ul style="list-style-type: none">• Incorporates impact of OSS reorganization (effective 07/01/2001).• Incorporates url's for referenced documents into Section 4.• Clarifies specific functional roles of Action Officers in Section 5 and Section 6.• Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.

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1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process for justifying the Office of Space Science (OSS) budget.

2. SCOPE AND APPLICABILITY

- 2.1 The three major phases to the budget process are: (a) formulation (also known as development); (b) justification (also known as advocacy); and (c) execution (also known as implementation). One of the most important characteristics of the budget process is that at any given time, some aspect of all three phases of the budget process is occurring. In a given year, OSS formulates the budget for the fiscal year that is two years away, justifies the budget for the upcoming year, and executes the budget for the current year.
- 2.2 The budget-justification process is viewed as having two major elements: (a) internal advocacy; and (b) external advocacy. Internal advocacy encompasses those activities that occur between the OSS submittal to the NASA Headquarters Office of the Chief Financial Officer (Code B) and NASA's submittal to the Office of Management and Budget (OMB). External advocacy encompasses a broad range of activities that are completed when the Congress authorizes a budget.
- 2.3 The scope of this OWI is confined to the description of the OSS budget-justification activities.

3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 CIC. Capital Investment Council that is a review panel consisting of the Associate Administrator for Space Science and other NASA Headquarters senior managers.
- 3.3 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.4 Code L. NASA Headquarters Office of Legislative Affairs.
- 3.5 Code SB. OSS Policy and Business Management Office.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification

3. DEFINITIONS (*concluded*)

- 3.6 Code SE. OSS Solar System Exploration Division.
- 3.7 Code SM. OSS Mars Exploration Program Office.
- 3.8 Code SP. OSS Resources Management Division.
- 3.9 Code SS. OSS Sun-Earth Connection Division.
- 3.10 Code SZ. OSS Astronomy and Physics Division.
- 3.11 EDP. OSS Executive Director for Programs.
- 3.12 EDS. OSS Executive Director for Science.
- 3.13 OMB. Office of Management and Budget (within the Executive Office of the President of the United States).
- 3.14 OSS. NASA Headquarters Office of Space Science.
- 3.15 SMC. Senior Management Council that comprises the CIC plus the NASA Center Directors.
- 3.16 SSE. NASA Space Science Enterprise.
- 3.17 TD. OSS Technology Director.

4. REFERENCES

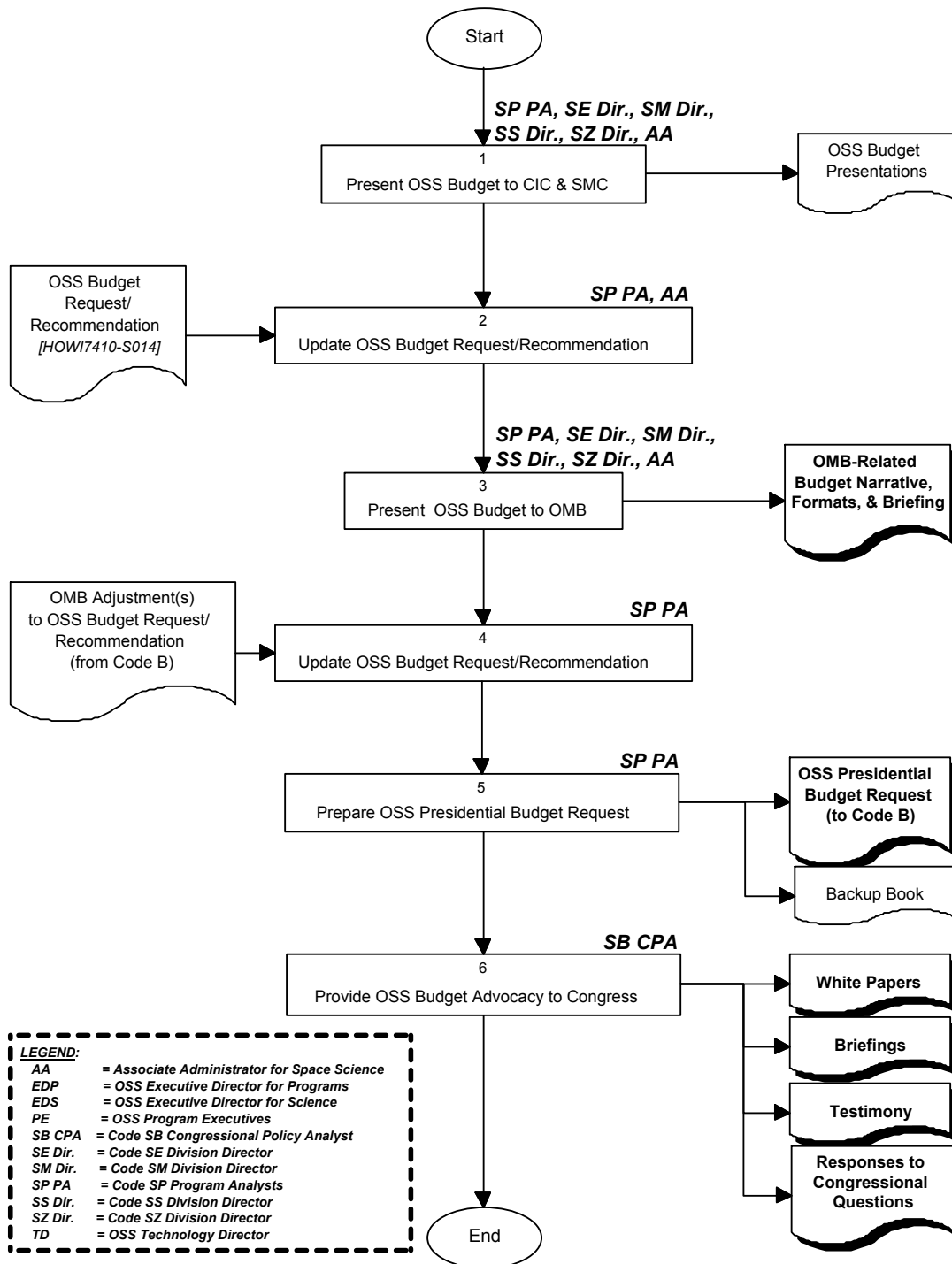
- 4.1 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.2 NASA Budget Administration Manual

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification**5. FLOWCHART**

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Code SP Program Analysts Code SE Director Code SM Director Code SS Director Code SZ Director AA	Code SP Program Analysts (with support from the Directors of Codes SE, SM, SS, and SZ) prepare a series of presentations that includes: (a) a summary of program accomplishments and status; (b) changes to the previous budget baseline, program and project schedules, and content; and (c) major issues. The Associate Administrator for Space Science briefs the presentations to the CIC and the SMC.
2	Code SP Program Analysts AA	Code SP Program Analysts update the OSS Budget Request/Recommendation (developed per HQOWI7410-S014) via an iterative process involving meetings among the NASA Administrator, the NASA Comptroller (in Code B), and the Associate Administrator for Space Science. These final budget decisions form the basis for NASA's budget submittal.
3	Code SP Program Analysts Code SE Director Code SM Director Code SS Director Code SZ Director AA	Code SP Program Analysts (with support from the Directors of Codes SE, SM, SS, and SZ) prepare a series of presentations to the OMB that focus on the past year's accomplishments, current status, performance measures, and future plans. The Associate Administrator for Space Science provides these presentations to the OMB in the form of budget narratives, briefings, and follow-up responses. Code SP Program Analysts provide additional narrative and formats to Code B for subsequent interactions with OMB.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification**6. PROCEDURE** *(concluded)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
4	Code SP Program Analysts	Code SP Program Analysts update the budget request in an iterative manner in response to OMB budget marks provided via Code B. This forms the basis of NASA's portion of the Presidential budget request to Congress.
5	Code SP Program Analysts	Code SP Program Analysts prepare the draft narrative for the OSS section of NASA's Presidential budget request and a back-up book to provide supporting information on budget changes, program and project schedules, and staffing.
6	Code SB Congressional Policy Analyst	The Code SB Congressional Policy Analyst prepares (in coordination with Code L and Code B) the following types of budget advocacy to the Congress: (a) white papers; (b) briefings; (c) testimony; and (d) responses to Congressional questions. All of these activities provide the Congress with a more extended discussion of program accomplishments, status, and future planned activities. The requirements for these products may vary from year to year, depending upon the specifics of the Congressional review process.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Budget Justification**7. QUALITY RECORDS**

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
OMB-Related Budget Narrative, Formats, and Briefing	Code SP Program Analysts	Code SP Division files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
OSS Presidential Budget Request (to Code B)	Code SP Program Analysts	Code SP Division files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
White Papers	Code SB Congressional Policy Analyst	Code SB Division files	Hardcopy	Schedule 1, Item 15A	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.
Briefings	Code SB Congressional Policy Analyst	Code SB Division files	Hardcopy	Schedule 1, Item 15A	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.
Testimony	Code SB Congressional Policy Analyst	Code SB Division files	Hardcopy	Schedule 1, Item 15A	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.
Responses to Congressional Questions	Code SB Congressional Policy Analyst	Code SB Division files	Hardcopy	Schedule 1, Item 15A	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]